



# COUNTY OF LOS ANGELES

## DEPARTMENT OF PUBLIC WORKS

*"To Enrich Lives Through Effective and Caring Service"*

900 SOUTH FREMONT AVENUE  
ALHAMBRA, CALIFORNIA 91803-1331  
Telephone: (626) 458-5100  
<http://dpw.lacounty.gov>

**GAIL FARBER, Director**

ADDRESS ALL CORRESPONDENCE TO:  
P.O. BOX 1460  
ALHAMBRA, CALIFORNIA 91802-1460

May 18, 2010

The Honorable Board of Supervisors  
County of Los Angeles  
383 Kenneth Hahn Hall of Administration  
500 West Temple Street  
Los Angeles, California 90012

Dear Supervisors:

## ADOPTED

BOARD OF SUPERVISORS  
COUNTY OF LOS ANGELES

#40 MAY 18, 2010

*Sachi A. Hamai*  
SACHI A. HAMAI  
EXECUTIVE OFFICER

**CALIFORNIA DEPARTMENT OF RESOURCES RECYCLING AND RECOVERY  
15TH CYCLE USED OIL BLOCK GRANT  
ACCEPTANCE OF A GRANT FOR REGIONAL USED MOTOR OIL  
AND OIL FILTER RECYCLING COLLECTION AND PUBLIC EDUCATION PROGRAM  
FOR THE COUNTY OF LOS ANGELES  
(ALL SUPERVISORIAL DISTRICTS)  
(3 VOTES)**

### **SUBJECT**

This action is to approve the acceptance of the 15th Cycle Used Oil Block Grant from the California Department of Resources Recycling and Recovery, formerly the California Integrated Waste Management Board, to continue the Regional Used Motor Oil and Oil Filter Recycling Collection and Public Education Program.

### **IT IS RECOMMENDED THAT YOUR BOARD:**

1. Find that the Regional Used Motor Oil and Oil Filter Recycling Collection and Public Education Program is categorically exempt from the provisions of the California Environmental Quality Act.
2. Accept a grant in the amount of \$191,019 from California Department of Resources Recycling and Recovery for the Department of Public Works to continue conducting a Countywide Regional Used Motor Oil and Oil Filter Recycling Collection and Public Education Program as the lead agency on behalf of the cities who partner on regional grant projects. Contributing Cities include Alhambra, Artesia, El Segundo, La Cañada Flintridge, Lawndale, Palos Verdes Estates, and San Marino.

## **PURPOSE/JUSTIFICATION OF RECOMMENDED ACTION**

The purpose of the recommended actions is to authorize the Director of Public Works (Director) or her designee to execute the grant agreement upon Board acceptance of the grant from the California Department of Resources Recycling and Recovery (CalRecycle) to continue the Regional Used Motor Oil and Oil Filter Recycling Collection and Public Education Program (Program).

## **Implementation of Strategic Plan Goals**

The Countywide Strategic Plan directs the provision of Operational Effectiveness (Goal 1), Children, Family, and Adult Well-Being (Goal 2), and Community and Municipal Services (Goal 3) by actively seeking grant funds to augment the County funding sources and by funding programs that improve the environment and the health and safety as well as the quality of life for children and families Countywide.

## **FISCAL IMPACT/FINANCING**

There will be no impact to the County General Fund. The estimated annual operating cost for the Program is \$475,000 of which \$191,019 is offset by the CalRecycle grant, and the remaining \$283,981 will be funded by the Proposed Fiscal Year 2011-12

Solid Waste Management Fund Budget. Sufficient funds to cover the Program cost will be included in the proposed Fiscal Year 2011-12 Solid Waste Management Fund Budget. The Department of Public Works (Public Works) cannot begin using the 15th Cycle Block Grant funding until the 14th Cycle Block Grant funds are expended in Fiscal Year 2010-11.

## **FACTS AND PROVISIONS/LEGAL REQUIREMENTS**

On March 21, 2006, your Board authorized the Director to execute all necessary applications, contracts, agreements, amendments, and payment requests for the purpose of securing grants from CalRecycle. The resolution is effective from April 1, 2006, through March 31, 2011.

Further, your Board authorized and empowered Public Works to act in the name of the County as the lead jurisdictional entity on behalf of cities who notified Public Works of their desire to participate with the County in regional grant projects. Your Board also authorized and empowered the Director to act in the name of the County as the lead agent on behalf of cities who notified Public Works of their desire to participate with the County in regional grant projects. Public Works is responsible for implementing the County Household Hazardous Waste Siting Element and the National Pollution Discharge Elimination System Municipal Stormwater Permit, which calls for increasing public awareness of various environmental issues. The Program facilitates the County's continuous effort to educate County of Los Angeles residents to recycle used oil and oil filters and provide information where residents can recycle used oil and oil filters.

In addition, on July 11, 2000, your Board approved guidelines for the acceptance of any grants of \$100,000 or more. These guidelines include a requirement that County departments prepare a Grant Management Statement for your review prior to the departments carrying out the activities covered under the grant. Accordingly, the Grant Management Statement for this grant is enclosed

for your review.

The enclosed Grant Agreement, Terms and Conditions, and Procedures and Requirements have been reviewed and approved by County Counsel. The Grant Agreement will be executed by the Director or her designee upon your Board's acceptance of the grant.

### **ENVIRONMENTAL DOCUMENTATION**

This Program is categorically exempt from the provisions of the California Environmental Quality Act (CEQA) pursuant to Class 8 of the Environmental Reporting Procedures and Guidelines adopted by your Board on November 17, 1987, and Section 15308 of the CEQA Guidelines. These exemptions provide for the maintenance, restoration, enhancement, or protection of the environment by a regulatory agency.

### **IMPACT ON CURRENT SERVICES (OR PROJECTS)**

As a result of the Program, we anticipate an increased volume of used oil and oil filters collected at State Certified Collection Centers, Household Hazardous Waste roundups, and other targeted oil collection events. This Program also helps reduce the amount of illegal dumping incidents throughout the County, which will enhance the environment and quality of life of County residents.

### **CONCLUSION**

Please return two adopted copies of this letter to the Public Works, Public Relations Group.

Respectfully submitted,

A handwritten signature in cursive script that reads "Gail Farber".

GAIL FARBER  
Director

GF:BS:al

Enclosures

c: Chief Executive Office (Lari Sheehan)  
County Counsel  
Executive Office

**DEPARTMENT OF RESOURCES RECYCLING AND RECOVERY**

801 K STREET, MS 19-01, SACRAMENTO, CALIFORNIA 95814 • (916) 322-4027 • WWW.CALRECYCLE.CA.GOV

March 23<sup>rd</sup>, 2010

Bob Spencer  
Management Specialist II  
Los Angeles County  
900 S. Fremont Avenue  
Alhambra, CA 91803

**SUBJECT: USED OIL BLOCK GRANT (UBG), Cycle 15 (FY 2009/10)**  
**UBG15-09-0035**

Dear Bob Spencer:

Congratulations! The Department of Resources Recycling and Recovery (CalRecycle) approved funding your Used Oil Block Grant on December 30, 2009 in the amount of \$191,019.00. Please review the enclosed Grant Agreement package, then complete and return the Grantee portion of the Grant Agreement Cover Sheet (CalRecycle 110).

The Grant Agreement Cover Sheet must be signed and returned to CalRecycle within 90 days from the date of this letter. In addition, full payment of any outstanding debt(s) owed by the proposed Grantee to CalRecycle is required within 90 days of **03/23/2010**. If the Grant Agreement Cover Sheet is not signed and returned within 90 days and/or payments are not made by the Grantee for all outstanding debts owed to CalRecycle within 90 days of **03/23/2010**, the grant award will be voided.

The Grant Agreement Cover Sheet must be signed by the "authorized signatory" as identified in your resolution. If the resolution authorizes a designee and the signature authority would like to designate another individual to sign on their behalf, the "authorized signatory" must provide a letter identifying the job title of the designee.

Please retain all Grant Agreement documents, which include Exhibits A through B, for your records and return only the Grant Agreement Cover Sheet to:

**CalRecycle**  
**Financial Assistance Division**  
**Attn: Jo Glenn, MS 9A**  
**1001 I Street, P.O. Box 4025**  
**Sacramento, CA 95812-4025**

Upon execution of the Grant Agreement Cover Sheet by both parties, CalRecycle will return a copy of the executed Grant Agreement Cover Sheet along with an Award Letter.

**Advance Payment Option** – This option may be available at the sole discretion of the CalRecycle Grant Manager for jurisdictions that receive a grant of \$20,000 or less, and multi-jurisdiction and regional grantees whose individual jurisdictions would have received \$20,000 or less had they applied individually. Generally, jurisdictions must have fully expended and closed their UBG14 in order to



receive an advance for the UBG15. Requests for an exception based on demonstration of significant financial hardship will be considered. Jurisdictions that request and are approved for this option must track interest, must place funds into an interest bearing account and follow the appropriate procedures.

**Procedures and Requirements** – In response to requests from Grantees, we have made various changes which are intended to reduce your administrative burden and decrease the need to seek prior approval for certain expenditures. The significant changes from the UBG14 Procedures and Requirements are highlighted in yellow.

As a reminder, if you are using a contractor, they must complete the Reliable Contractor Declaration form and submit it to you prior to beginning work. Additionally, in order to provide guidance in complying with grant administrative requirements, Grantees are required to submit a completed Grant Self-Assessment Checklist with their Final Report. The Grant Self-Assessment Checklist can be found at: <http://www.calrecycle.ca.gov/Grants/Forms/>.

If you have any questions regarding the Grant Agreement package, please contact me at (916)341-6446 or [Barbara.Baker@calrecycle.ca.gov](mailto:Barbara.Baker@calrecycle.ca.gov).

I look forward to your participation in this grant program.

Sincerely,



Barbara Baker  
Grant Manager  
Used Oil Block Grant Program

Enclosures:

Attachment I – Forms Matrix

Attachment II – Advance Payment Request (If applicable)

Grant Agreement Cover Sheet (CalRecycle 110)

Exhibit A – Terms and Conditions

Exhibit B – Procedures and Requirements

**GRANT AGREEMENT COVER SHEET**

CalRecycle 110 (Revised 1/10)

GRANT NUMBER

UBG15-09-35

NAME OF GRANT PROGRAM

2009/2010 Used Oil Block Grants - Fifteenth Cycle

GRANTEE NAME

Los Angeles County

TAXPAYER'S FEDERAL EMPLOYER IDENTIFICATION NUMBER

TOTAL GRANT AMOUNT NOT TO EXCEED

\$191,019.00

TERM OF GRANT AGREEMENT

FROM: July 1, 2009

TO: June 30, 2012

THIS AGREEMENT is made and entered into on this 21<sup>st</sup> day of January 2010, by the Department of Resources Recycling and Recovery ("CalRecycle")and Los Angeles County (the "Grantee"). CalRecycle and the Grantee, in mutual consideration of the promises made herein, agree as follows:

The Grantee further agrees to abide by the provisions of the following exhibits attached hereto:

Exhibit A - Terms &amp; Conditions

Exhibit B - Procedures &amp; Requirements

Exhibits A and B are attached hereto, the CalRecycle-approved Application and the Application Guidelines and Instructions are incorporated by reference herein and made a part hereof.

CalRecycle agrees to fund work done by the Grantee in accordance with this Agreement up to but not to exceed the Total Grant Amount specified herein.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement as of the dates entered below.

CALRECYCLE		GRANTEE' NAME (PRINT OR TYPE)	
SIGNATURE OF CALRECYCLE'S AUTHORIZED SIGNATORY:		Los Angeles County	
—		SIGNATURE OF GRANTEE: (AS AUTHORIZED IN RESOLUTION OR LETTER OF DESIGNATION AUTHORIZATION)	
—		—	
Director, CalRecycle	DATE	TITLE (Authorized representative )	DATE
		GRANTEE' ADDRESS (INCLUDE STREET, CITY, STATE AND ZIP CODE)	
<b>CERTIFICATION OF FUNDING</b>			
AMOUNT ENCUMBERED BY THIS AGREEMENT	PROGRAM/CATEGORY (CODE AND TITLE)		FUND TITLE
\$191,019.00	2009/2010 Used Oil Block Grants - Fifteenth Cycle		OIL
PRIOR AMOUNT ENCUMBERED FOR THIS AGREEMENT	(OPTIONAL USE)		
TOTAL AMOUNT ENCUMBERED TO DATE	ITEM	CHAPTER	STATUTE
\$191,019.00	3500-602-0100	817	1991
	FISCAL YEAR		
	2009/2010		
	OBJECT OF EXPENDITURE (CODE AND TITLE)		
	1000-75100-702		
I hereby certify upon my own personal knowledge that budgeted funds are available for the period and purpose of the expenditure stated above.		T.B.A. NO.	B.R. NO.
SIGNATURE OF CALRECYCLE ACCOUNTING OFFICER:		DATE	
—		JAN 27 2010	



## Attachment I

### FORMS MATRIX

Form Name	When it's used?	Completed by...
Reliable Contractor Declaration form (CalRecycle 168)	Prior to authorizing contractor to commence work.	Grantee & Contractor
Grant Payment Request (CalRecycle 87)	When requesting reimbursement	Grantee
Recycle-Content Certification Form (CalRecycle 74G)	When requesting final reimbursement	Product Supplier, Manufacturer, Contractor, or Grantee
General Checklist if Business Permits Licenses and Filings (CalRecycle 669)	When requesting reimbursement – not needed if there are no changes	Grantee
Grant Self-Assessment Checklist (CalRecycle 641)	When requesting final payment	Grantee
Travel Expense Log Form (CalRecycle 246 and includes a sample completed form.)	When requesting reimbursement for travel expenses	Grantee
Personnel Expenditure Summary (CalRecycle 165)	When personnel expenditures are reported on the Expenditure Itemization Summary form.	Grantee & Contractor
Expenditure Itemization Summary (CalRecycle 667)	When requesting reimbursement	Grantee
Site Visit Checklist (English) (CalRecycle 664)	When submitting Annual Report	Grantee
Site Visit Checklist (Spanish) (CalRecycle 664)	When submitting Annual Report	Grantee
Multiple Site Visit Checklist (CalRecycle 665)	When submitting Annual Report	Grantee

**IMPORTANT!** These forms are provided for you to refer as you are reviewing your grant agreement documents. This may not be an all inclusive list. These forms may be updated during your grant term. Please refer to the following website for the latest version,  
<http://www.calrecycle.ca.gov/Grants/Forms/>.





## **EXHIBIT A**

### **TERMS AND CONDITIONS**

#### **Used Oil Recycling Block Grant** **Fiscal Year 2009/10 (Cycle 15th)**

This grant may not be funded unless the proposed Grantee meets the following two conditions:

1. The proposed Grantee must pay or bring current all outstanding debts or scheduled payments owed to the Department of Resources Recycling and Recovery (CalRecycle) within ninety (90) days from the date of the grant award.
2. The proposed Grantee must complete, sign, and return the Grant Agreement within ninety (90) days from the date recorded on the Grant Agreement package's cover letter.

The following terms used in this Grant Agreement (Agreement) have the meanings given to them below, unless the context clearly indicates otherwise:

"CalRecycle" means the Department of Resources Recycling and Recovery.

"Director" means the Director of CalRecycle or his or her designee.

"Grant Agreement" and "Agreement" means all documents comprising the agreement between CalRecycle and the Grantee for this Grant.

"Grant Manager" means CalRecycle staff person responsible for monitoring the grant.

"Grantee" means the recipient of funds pursuant to this Agreement.

"Program" means the Used Oil Recycling Block Grant Program.

"State" means the State of California, including, but not limited to, CalRecycle and/or its designated officer.

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#### **1.** **ACKNOWLEDGEMENTS**

The Grantee shall acknowledge CalRecycle's support each time projects funded, in whole or in part, by this Agreement are publicized in any medium, including, but not limited to, news media, brochures, or other types of promotional material. The acknowledgement of CalRecycle's support must incorporate CalRecycle Initials or abbreviations for CalRecycle shall not be used. The Grant Manager may approve deviation from this prescribed language on a case-by-case basis where such deviation is consistent with CalRecycle's Communication Strategy and Outreach Plan. If, subsequent to this Agreement, CalRecycle adopts updated or new logos or language (language), the Grant Manager may require the Grantee to include this language in newly printed or generated materials.

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#### **2. ADVERTISING/ PUBLIC EDUCATION**

The Grantee shall submit copies of all draft public education or advertising materials to the Grant Manager for review and approval prior to the Grantee's production of materials. Unless omission of the following copyright designation is pre-approved in writing by the Grant Manager, all public education and advertising materials shall state: "© {year of creation} by the California Department of Resources Recycling and Recovery (CalRecycle). All rights reserved. This publication, or parts thereof, may not be reproduced without permission from CalRecycle."

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#### **3. AIR OR WATER POLLUTION VIOLATION**

Under the State laws, the Grantee shall not be:

- a. In violation of any order or resolution not subject to review promulgated by the State Air Resources Board or an air pollution control district;
  - b. Subject to cease and desist order not subject to review issued pursuant to Section 13301 of the Water Code for violation of waste discharge
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- requirements or discharge prohibitions; or
- c. Finally determined to be in violation of provisions of federal law relating to air or water pollution.
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**4. AMENDMENT**

No amendment or variation of the terms of this Agreement shall be valid unless made in writing, signed by the parties, and approved as required. No oral understanding or agreement not incorporated into this Agreement is binding on any of the parties.

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**5. AMERICANS WITH DISABILITIES ACT**

The Grantee assures the State that it complies with the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as all applicable regulations and guidelines issued pursuant to the ADA. (42 U.S.C. § 12101 et seq.)

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**6. ASSIGNMENT, SUCCESSORS AND ASSIGNS**

- a. This Agreement may not be assigned by the Grantee, either in whole or in part, without CalRecycle's prior written consent.
- b. The provisions of this Agreement shall be binding upon and inure to the benefit of CalRecycle, the Grantee, and their respective successors and assigns.
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**7. AUDIT/RECORDS ACCESS**

The Grantee agrees that CalRecycle, the Department of Finance, the Bureau of State Audits, or their designated representative(s) shall have the right to review and to copy any records and supporting documentation pertaining to the performance of this Agreement. The Grantee agrees to maintain such records for possible audit for a minimum of three (3) years after final payment date or grant term end date, whichever is later, unless a longer period of records retention is stipulated, or until completion of any action and resolution of all issues which may arise as a result of any litigation, dispute, or audit, whichever is later. The Grantee agrees to allow the designated representative(s) access to such records during normal business hours and to allow interviews of any employees who might reasonably have information related to such records. Further, the Grantee agrees to include a similar right of the State to audit records and interview staff in any contract or subcontract related to performance of this Agreement.

*[You may find it helpful to share the Terms and Conditions and Procedures and Requirements with your finance department, contractors and subcontractors. Examples of audit documentation include, but are not limited to: expenditure ledger, payroll register entries and time sheets, personnel expenditure summary form, travel expense log, paid warrants, contracts, change orders, invoices, and/or cancelled checks.]*

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**8. AUTHORIZED REPRESENTATIVE**

The Grantee shall continuously maintain a representative vested with signature authority authorized to work with CalRecycle on all grant-related issues. The Grantee shall, at all times, keep the Grant Manager informed as to the identity and contact information of the authorized representative.

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**9. AVAILABILITY OF FUNDS**

The CalRecycle's obligations under this Agreement are contingent upon and subject to the availability of funds appropriated for this grant.

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**10. CHILD SUPPORT COMPLIANCE ACT**

For any agreement in excess of \$100,000, the Grantee acknowledges that:

- a. The Grantee recognizes the importance of child and family support obligations and shall fully comply with all applicable state and federal laws relating to child and family support enforcement, including, but not limited to, disclosure of information and compliance with earnings assignment orders, as provided in Chapter 8 (commencing with Section 5200) of Part 5 of Division 9 of the Family Code; and
  - b. The Grantee, to the best of its knowledge, is fully complying with the earnings assignment orders of all employees, and is providing the names of all new employees to the New Hire Registry maintained by the California Employment Development Department.
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**11. COMMUNICATIONS**

All communications from the Grantee to CalRecycle shall be directed to the Grant Manager. All notices, including reports and payment requests, required by this Agreement shall be given in writing by E-mail, letter, or FAX to the Grant Manager as identified in Exhibit B – Procedures and Requirements. If an original document is required, prepaid mail or personal delivery to the Grant Manager is required following the E-mail or FAX.

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**12. COMPLIANCE**

The Grantee shall comply fully with all applicable federal, state, and local laws, ordinances, regulations, and permits. The Grantee shall provide evidence, upon request, that all local, state, and/or federal permits, licenses, registrations, and approvals have been secured for the purposes for which grant funds are to be expended. The Grantee shall maintain compliance with such requirements throughout the grant period. The Grantee shall ensure that the requirements of the California Environmental Quality Act are met for any approvals or other requirements necessary to carry out the terms of this Agreement. Any deviation from the requirements of this section shall result in non-payment of grant funds.

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**13. CONFLICT OF INTEREST**

The Grantee needs to be aware of the following provisions regarding current or former state employees. If the Grantee has any questions on the status of any person rendering services or involved with this Agreement, CalRecycle must be contacted immediately for clarification.

*Current State Employees (Public Contracts Code (PCC) § 10410):*

- a. No officer or employee shall engage in any employment, activity, or enterprise from which the officer or employee receives compensation or has a financial interest and which is sponsored or funded by any state agency, unless the employment, activity, or enterprise is required as a condition of regular state employment.
- b. No officer or employee shall contract on his or her own behalf as an independent contractor with any state agency to provide goods or services.

*Former State Employees (PCC § 10411):*

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- a. For the two-year period from the date he or she left state employment, no former state officer or employee may enter into a contract in which he or she engaged in any of the negotiations, transactions, planning, arrangements or any part of the decision-making process relevant to the contract while employed in any capacity by any state agency.
  - b. For the twelve-month period from the date he or she left state employment, no former state officer or employee may enter into a contract with any state agency if he or she was employed by that state agency in a policy-making position in the same general subject area as the proposed contract within the twelve month period prior to his or her leaving state service.
- If the Grantee violates any provisions of above paragraphs, such action by the Grantee shall render this Agreement void. (PCC § 10420).
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**14. CONTRACTORS/  
SUBCONTRACTORS**

The Grantee will be entitled to make use of its own staff and such contractors and subcontractors as are mutually acceptable to the Grantee and CalRecycle. Any change in contractors or subcontractors must be mutually acceptable to the parties. Immediately upon termination of any such contract or subcontract, the Grantee shall notify the Grant Manager.

Nothing contained in this Agreement or otherwise, shall create any contractual relation between CalRecycle and any contractors or subcontractors of Grantee, and no agreement with contractors or subcontractors shall relieve the Grantee of its responsibilities and obligations hereunder. The Grantee agrees to be as fully responsible to CalRecycle for the acts and omissions of its contractors and subcontractors and of persons either directly or indirectly employed by any of them as it is for the acts and omissions of persons directly employed by the Grantee. The Grantee's obligation to pay its contractors and subcontractors is an independent obligation from CalRecycle's obligation to make payments to the Grantee. As a result, CalRecycle shall have no obligation to pay or to enforce the payment of any moneys to any contractor or subcontractor.

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**15. COPYRIGHTS AND  
TRADEMARKS**

- a. To the extent the Grantee shall have the legal right to do so, Grantee shall assign to CalRecycle any and all rights, title, and interests to any copyrightable material or trademarkable material created or developed in whole or in any part as a result of this Agreement, but which originated from previously copyrighted or trademarked material. With respect to all other copyrightable and trademarkable materials, CalRecycle shall retain any and all rights, title and interests to any copyrightable material or trademarkable material created or developed in whole or in any part as a result of this Agreement. These rights, both assigned and retained, shall include the right to register for copyright or trademark of such materials. Grantee shall require that its contractors and subcontractors agree that all such materials shall be the property of CalRecycle. The Grantee is responsible for obtaining any necessary licenses, permissions, releases or authorizations to use text, images or other materials owned, copyrighted or trademarked by third parties and for assigning such licenses, permissions, releases, or authorizations to CalRecycle pursuant to this section. Copies of any licenses, permissions, releases or authorizations obtained pursuant for the use of text, images or other materials owned, copyrighted or trademarked by third parties shall be provided to the Grant Manager. Under unusual and very limited circumstances, where to do so would not conflict with the rights of CalRecycle and would serve the public interest, upon written request by the Grantee, CalRecycle may give, at the Director's sole discretion,
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written consent to the Grantee to retain all or any part of the ownership of these rights.

- b. The CalRecycle hereby grants to the Grantee a royalty-free, nonexclusive, nontransferable world-wide license to reproduce, translate, and distribute copies of the copyrightable materials produced pursuant to this Agreement, for nonprofit, non-commercial purposes, and to have or permit others to do so on the Grantee's behalf. This license is limited to the copyrightable materials produced pursuant to this Agreement and does not extend to any materials capable of being trademarked. The following shall appear on all intellectual property used by Contractor pursuant to this license, solely for the purpose of protecting CalRecycle's intellectual property rights therein: "© {year of creation} by the Department of Resources Recycling and Recovery (CalRecycle). Used pursuant to license granted by CalRecycle. All rights reserved. This publication, or parts thereof, may not be reproduced without permission."
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**16. CORPORATION  
QUALIFIED DOING  
BUSINESS IN  
CALIFORNIA**

When work under this Agreement is to be performed in California by a corporation, the corporation shall be in good standing and currently qualified to do business in the State. "Doing business" is defined in Revenue and Taxation Code Section 23101 as actively engaging in any transaction for the purpose of financial or pecuniary gain or profit.

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**17. DISCLAIMER OF  
WARRANTY**

The CalRecycle makes no warranties, express or implied, including without limitation, the implied warranties of merchantability and fitness for a particular purpose, regarding the materials, equipment, services or products purchased, used, obtained and/or produced with funds awarded under this Agreement, whether such materials, equipment, services or products are purchased, used, obtained and/or produced alone or in combination with other materials, equipment, services or products. No CalRecycle employees or agents have any right or authority to make any other representation, warranty or promise with respect to any materials, equipment, services or products, purchased, used, obtained, or produced with grant funds. In no event shall CalRecycle be liable for special, incidental or consequential damages arising from the use, sale or distribution of any materials, equipment, services or products purchased or produced with grant funds awarded under this Agreement.

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**18. DISCRETIONARY  
TERMINATION**

The Director shall have the right to terminate this Agreement at his or her sole discretion at any time upon thirty (30) days written notice to the Grantee. Within forty-five (45) days of receipt of written notice, Grantee is required to:

- a. Submit a final written report describing all work performed by the Grantee;
- b. Submit an accounting of all grant funds expended up to and including the date of termination; and,
- c. Reimburse CalRecycle for any unspent funds.

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**19. DISPUTES**

Unless otherwise instructed by the Grant Manager, the Grantee shall continue with its responsibilities under this Agreement during any dispute.

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**20. DRUG-FREE  
WORKPLACE  
CERTIFICATION**

The person signing this Agreement on behalf of the Grantee certifies under penalty of perjury under the laws of California, that the Grantee will comply with the requirements of the Drug-Free Workplace Act of 1990 (GC § 8350 et seq.)

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and will provide a drug-free workplace by taking the following actions:

- a. Publish a statement notifying employees that unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited and specifying actions that will be taken against employees for violations.
  - b. Establish a drug-free awareness program to inform employees about all of the following: (1) the dangers of drug abuse in the workplace, (2) the Grantee's policy of maintaining a drug-free workplace, (3) any available counseling, rehabilitation, and employee assistance programs, and (4) penalties that may be imposed upon employees for drug abuse violations.
  - c. Require that each employee who works on the grant: (1) receive a copy of the drug-free policy statement of the Grantee, and (2) agrees to abide by the terms of such statement as a condition of employment on the grant.
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**21. EFFECTIVENESS OF AGREEMENT**

This Agreement is of no force or effect until signed by both parties.

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**22. ENTIRE AGREEMENT**

This Agreement supersedes all prior agreements, oral or written, made with respect to the subject hereof and, together with all attachments hereto, contains the entire Agreement of the parties.

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**23. ENVIRONMENTAL JUSTICE**

In the performance of this Agreement, the Grantee shall conduct its programs, policies, and activities that substantially affect human health or the environment in a manner that ensures the fair treatment of people of all races, cultures, and income levels, including minority populations and low-income populations of the State.

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**24. FAILURE TO PERFORM AS REQUIRED BY THIS AGREEMENT**

The CalRecycle will benefit from the Grantee's full compliance with the terms of this Agreement only by the Grantee's:

- a. Investigation and/or application of technologies, processes, and devices which support reduction, reuse, and/or recycling of wastes; or
- b. Cleanup of the environment; or
- c. Enforcement of solid waste statutes and regulations, as applicable.

Therefore, the Grantee shall be in compliance with this Agreement only if the work it performs results in:

- a. Application of information, a process, usable data or a product which can be used to aid in reduction, reuse, and/or recycling of waste; or
- b. The cleanup of the environment; or
- c. The enforcement of solid waste statutes and regulations, as applicable.

If the Grant Manager determines that the Grantee has not complied with the Grant Agreement, the Grantee may forfeit the right to reimbursement of any grant funds not already paid by CalRecycle, including, but not limited to, the ten percent (10%) withhold.

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**25. FORCE MAJEURE**

Neither CalRecycle nor the Grantee, its contractors, vendors, or subcontractors, if any, shall be responsible hereunder for any delay, default, or nonperformance of this Agreement, to the extent that such delay, default, or nonperformance is

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caused by an act of God, weather, accident, labor strike, fire, explosion, riot, war, rebellion, sabotage, flood, or other contingencies unforeseen by CalRecycle or the Grantee, its contractors, vendors, or subcontractors, and beyond the reasonable control of such party.

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**26. FORFEIT OF GRANT FUNDS/REPAYMENT OF FUNDS IMPROPERLY EXPENDED**

If grant funds are not expended, or have not been expended, in accordance with this Agreement, or if real or personal property acquired with grant funds is not being used, or has not been used, for grant purposes in accordance with this Agreement, the Director, at his or her sole discretion, may take appropriate action under this Agreement, at law or in equity, including requiring the Grantee to forfeit the unexpended portion of the grant funds, including, but not limited to, the ten percent (10%) withhold, and/or to repay to CalRecycle any funds improperly expended.

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**27. GENERALLY ACCEPTED ACCOUNTING PRINCIPLES**

The Grantee is required to use Generally Accepted Accounting Principles in documenting all grant expenditures.

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**28. GRANT MANAGER'S AUTHORITY**

The Grant Manager does not have the authority to approve any deviation from or revision to the Terms and Conditions (Exhibit A) or the Procedures and Requirements (Exhibit B), unless such authority is expressly stated in the Procedures and Requirements (Exhibit B).

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**29. GRANTEE ACCOUNTABILITY**

The Grantee is ultimately responsible and accountable for the manner in which the grant funds are utilized and accounted for and the way the grant is administered, even if the Grantee has contracted with another organization, public or private, to administer or operate its grant program. In the event an audit should determine that grant funds are owed to CalRecycle, the Grantee is responsible for repayment of the funds to CalRecycle.

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**30. GRANTEE'S INDEMNIFICATION AND DEFENSE OF THE STATE**

The Grantee agrees to indemnify, defend and save harmless the State and CalRecycle, and their officers, agents and employees from any and all claims and losses accruing or resulting to any and all contractors, subcontractors, suppliers, laborers, and any other person, firm or corporation furnishing or supplying work services, materials, or supplies in connection with the performance of this Agreement, and from any and all claims and losses accruing or resulting to any person, firm or corporation who may be injured or damaged by the Grantee in the performance of this Agreement.

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**31. GRANTEE'S NAME CHANGE**

A written amendment is required to change the Grantee's name as listed on this Agreement. Upon receipt of legal documentation of the name change, CalRecycle will process the amendment. Payment of Payment Requests presented with a new name cannot be paid prior to approval of the amendment.

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**32. NO AGENCY RELATIONSHIP CREATED/ INDEPENDENT CAPACITY**

The Grantee and the agents and employees of Grantee, in the performance of this Agreement, shall act in an independent capacity and not as officers or employees or agents of CalRecycle.

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**33. NO WAIVER OF RIGHTS**

The CalRecycle shall not be deemed to have waived any rights under this Agreement unless such waiver is given in writing and signed by CalRecycle. No delay or omission on the part of CalRecycle in exercising any rights shall operate as a waiver of such right or any other right. A waiver by CalRecycle of a provision of this Agreement shall not prejudice or constitute a waiver of CalRecycle's right otherwise to demand strict compliance with that provision or any other provision of this Agreement. No prior waiver by CalRecycle, nor any course of dealing between CalRecycle and Grantee, shall constitute a waiver of any of CalRecycle's rights or of any of Grantee's obligations as to any future transactions. Whenever the consent of CalRecycle is required under this Agreement, the granting of such consent by CalRecycle in any instance shall not constitute continuing consent to subsequent instances where such consent is required and in all cases such consent may be granted or withheld in the sole discretion of CalRecycle.

**34. NON-DISCRIMINATION CLAUSE**

During the performance of this Agreement, Grantee and its contractors shall not unlawfully discriminate, harass, or allow harassment against any employee or applicant for employment on the bases enumerated in Government Code §§ 12900 et seq.

**35. OWNERSHIP OF DRAWINGS, PLANS, AND SPECIFICATIONS**

The State shall have separate and independent ownership of all drawings, design plans, specifications, notebooks, tracings, photographs, negatives, reports, findings, recommendations, data, software, and memoranda of every description or any part thereof, paid for in whole or in any part with grant funds. Copies thereof shall be delivered to CalRecycle upon request. Grantee agrees, and shall require that its contractors, subcontractors, and vendors agree that the State shall have the full right to use said copies in any manner when and where it may determine without any claim to additional compensation.

**36.. PAYMENT**

- a. Upon execution of this Agreement by both parties, CalRecycle may advance grant funds to Grantee provided that Grantee, in the discretion of CalRecycle Grant Manager, qualifies for such advance payment and has satisfactorily complied with the applicable requirements contained in this Grant Agreement Package. The CalRecycle may elect not to advance payment if Grantee has not satisfactorily complied with the applicable terms and conditions of previous grants and/or does not meet other threshold requirements identified in the Procedures and Requirements (Exhibit B).
- b. All expenditures must be directly related to the tasks identified in the Procedures and Requirements (Exhibit B).
- c. Upon receipt of grant funds, the Grantee shall deposit and maintain until expended all grant funds in an interest bearing account in a federally insured financial institution. All interest accrued and received from this account must be used for eligible expenses related to the performance of this Agreement. Interest funds must be accounted for in all grant reports. All unused interest funds must be returned to CalRecycle at the end of the grant term.
- d. Ten percent (10%) will be withheld from each Payment Request and paid at the end of the grant term, when all reports and conditions stipulated in this Agreement have been satisfactorily completed.

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- e. Lodgings, Meals and Incidentals: Grantee's Per Diem eligible costs are limited to the amounts authorized in the *California State Administrative Manual* (contact your Grant Manager for more information).
  - f. Payment will be made only to the Grantee.
  - g. Reimbursable expenses shall not be incurred unless and until the Grantee receives a Notice to Proceed as described in Exhibit B.
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**37. PERSONNEL COSTS**

If there are eligible costs pursuant to Exhibit B, Procedures and Requirements, any personnel expenditures to be reimbursed with grant funds must be computed based on actual time spent on grant-related activities and on the actual salary or equivalent hourly wage the employee is paid for his or her regular job duties, including a proportionate share of any benefits to which the employee is entitled, unless otherwise specified in the Procedures and Requirements (Exhibit B).

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**38. REAL AND  
PERSONAL PROPERTY  
ACQUIRED WITH GRANT  
FUNDS**

- a. All real and personal property, including equipment and supplies, acquired with grant funds shall be used by the Grantee only for the purposes for which CalRecycle approved their acquisition for so long as such property is needed for such purposes, regardless of whether the Grantee continues to receive grant funds from CalRecycle for such purposes. In no event shall the length of time during which such property, including equipment and supplies, acquired with grant funds, is used for the purpose for which CalRecycle approved its acquisition be less than five (5) years after the end of the grant term, during which time the property, including equipment and supplies, must remain in the State of California.
  - b. Subject to the obligations and conditions set forth in this section, title to all real and personal property acquired with grant funds, including all equipment and supplies, shall vest upon acquisition in the Grantee. The Grantee shall execute all documents required to provide CalRecycle with a purchase money security interest in any real or personal property, including equipment and supplies, and it shall be a condition of receiving this grant that CalRecycle shall be in first priority position with respect to the purchase money security interest on any such property acquired with the grant funds, unless pre-approved in writing by the Grant Manager that CalRecycle will accept a lower priority position with respect to the purchase money security interest on the property. Grantee shall inform any lender(s) from whom it is acquiring additional funding to complete the property purchase of this grant condition.
  - c. The Grantee may not transfer Title to any real or personal property, including equipment and supplies, acquired with grant funds to any other entity without the express authorization of CalRecycle.
  - d. The CalRecycle will not reimburse the Grantee for the acquisition of equipment that was previously purchased with CalRecycle grant funds, unless the acquisition of such equipment with grant funds is pre-approved in writing by the Grant Manager. In the event of a question concerning the eligibility of equipment for grant funding, the burden will be on the Grantee to establish the pedigree of the equipment.
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**39. RECYCLED-  
CONTENT  
CERTIFICATION**

The Grantee shall certify the minimum, if not the exact, percentage of postconsumer and secondary material in the products, materials, goods, and supplies purchased with grant funds. This certification shall be provided to CalRecycle on the Recycled Content Certification Form (CalRecycle 74G) available at [www.ciwmb.ca.gov/Grants/Forms/CalRecycle074.pdf](http://www.ciwmb.ca.gov/Grants/Forms/CalRecycle074.pdf).

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<b>40. RECYCLED-CONTENT PAPER</b>	All documents submitted by the Grantee must be printed double-sided on recycled-content paper containing one hundred percent (100%) post-consumer fiber. Specific pages containing photographs or other ink-intensive graphics may be printed on photographic paper.
<b>41. RECYCLED-CONTENT PRODUCT PROCUREMENT</b>	In the performance of this Agreement, for purchases made with grant funds, the Grantee shall purchase recycled-content products (RCP), as defined by the State Agency Buy Recycled Campaign (SABRC) minimum recycled content requirements see <a href="http://www.ciwmb.ca.gov/BuyRecycled/StateAgency/">www.ciwmb.ca.gov/BuyRecycled/StateAgency/</a> . If the Grantee cannot purchase RCPs, the Grantee must document why it was unable to comply with this requirement and request written pre-approval from its Grant Manager to deviate from this policy..
<b>42. REDUCTION OF WASTE</b>	In the performance of this Agreement, Grantee shall take all reasonable steps to ensure that materials purchased or utilized in the course of the project are not wasted. Steps should include, but not be limited to: the use of used, reusable, or recyclable products; discretion in the amount of materials used; alternatives to disposal of materials consumed; and the practice of other waste reduction measures where feasible and appropriate.
<b>43. REDUCTION OF WASTE TIRES</b>	Unless otherwise provided for in this Agreement, in the performance of this Agreement, for all purchases made with grant funds, including, but not limited to, equipment and tire-derived feedstock, the Grantee shall purchase and/or process only California waste tires and California waste tire-derived products. As a condition of final payment under this Agreement, the Grantee must provide documentation substantiating the source of the tire materials used during the performance of this Agreement to the Grant Manager.
<b>44. REMEDIES</b>	Unless otherwise expressly provided herein, the rights and remedies hereunder are in addition to, and not in limitation of, other rights and remedies under this Agreement, at law or in equity, and exercise of one right or remedy shall not be deemed a waiver of any other right or remedy.
<b>45. SELF ASSESSMENT CHECKLIST</b>	The Grantee shall submit with its Final Report a completed and signed Self Assessment Checklist form, which is designed to aid the Grantee and CalRecycle in measuring compliance with grant administrative requirements.
<b>46. SEVERABILITY</b>	If any provisions of this Agreement are found to be unlawful or unenforceable, such provisions will be voided and severed from this Agreement without affecting any other provision of this Agreement. To the full extent, however, that the provisions of such applicable law may be waived, they are hereby waived to the end that this Agreement be deemed to be a valid and binding agreement enforceable in accordance with its terms.
<b>47. SITE ACCESS</b>	The Grantee shall allow the State to inspect sites at which grant funds are expended and related work being performed at any time during the performance

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of the work and for ninety (90) days after completion of the work, or until all issues related to the grant project have been resolved.

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**48. STOP WORK  
NOTICE**

Immediately upon receipt of a written notice from the Grant Manager to stop work, the Grantee shall cease all work under this Agreement.

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**49. TERMINATION FOR  
CAUSE**

The CalRecycle may terminate this Agreement and be relieved of any payments should the Grantee fail to perform the requirements of this Agreement at the time and in the manner herein provided. In the event of such termination, CalRecycle may proceed with the work in any manner deemed proper by CalRecycle. All costs to CalRecycle shall be deducted from any sum due the Grantee under this Agreement. Termination pursuant to this section may result in forfeiture by the Grantee of any funds retained pursuant to CalRecycle's ten percent (10%) retention policy.

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**50. TIME IS OF THE  
ESSENCE**

Time is of the essence of this Agreement.

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**51. TOLLING OF  
STATUTE OF  
LIMITATIONS**

The statute of limitations for bringing any action, administrative or civil, to enforce the terms of this Agreement or to recover any amounts determined to be owing to CalRecycle as the result of any audit of the grant covered by this Agreement shall be tolled during the period of any audit resolution, including any appeals by the Grantee to the Director.

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**52. UNION ORGANIZING**

By signing this Agreement, the Grantee hereby acknowledges the applicability of Government Code §§ 16645, 16645.2, 16645.8, 16646, 16647, and 16648 to this Agreement and hereby certifies that:

- a. No grant funds disbursed by this grant will be used to assist, promote, or deter union organizing by employees performing work under this Agreement.
  - b. If the Grantee makes expenditures to assist, promote, or deter union organizing, the Grantee will maintain records sufficient to show that no state funds were used for those expenditures, and that Grantee shall provide those records to the Attorney General upon request.
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**52. UNRELIABLE LIST**

Prior to authorizing a contractor(s) to commence work under this Grant, the Grantee shall submit to CalRecycle a declaration from the contractor(s), signed under penalty of perjury, stating that within the preceding three (3) years, none of the events listed in Section 17050 of Title 14, California Code of Regulations, Natural Resources, Division 7, has occurred with respect to the contractor(s). See [www.ciwm.ca.gov/Regulations/Title14/ch1.htm#ch1a5](http://www.ciwm.ca.gov/Regulations/Title14/ch1.htm#ch1a5). If a contractor is placed on CalRecycle Unreliable List after award of this Grant, the Grantee may be required to terminate that contract.

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**53. VENUE/ CHOICE OF  
LAW**

- a. All proceedings concerning the validity and operation of this Agreement and the performance of the obligations imposed upon the parties hereunder shall be held in Sacramento County, California. The parties hereby waive any right to any other venue. The place where the Agreement is entered into and
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place where the obligation is incurred is Sacramento County, California.

- b. The laws of the State of California shall govern all proceedings concerning the validity and operation of this Agreement and the performance of the obligations imposed upon the parties hereunder.

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**54. WAIVER OF CLAIMS  
AND RECOURSE  
AGAINST THE STATE**

The Grantee agrees to waive all claims and recourse against the State, its officials, officers, agents, employees, and servants, including, but not limited to, the right to contribution for loss or damage to persons or property arising out of, resulting from, or in any way connected with or incident to this Agreement. This waiver extends to any loss incurred attributable to any activity undertaken or omitted pursuant to this Agreement or any product, structure, or condition created pursuant to, or as a result of, this Agreement.

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**55. WORK PRODUCTS**

The Grantee must provide CalRecycle with copies of all printed materials and photographs of all other final products paid for with Grant funds. Physical copies of the final product shall be provided upon request of the Grant Manager.

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**56. WORKERS'  
COMPENSATION/LABOR  
CODE**

The Grantee is aware of Labor Code section 3700, which requires every employer to be insured against liability for Worker's Compensation or to undertake self-insurance in accordance with the Labor Code, and the Grantee affirms to comply with such provisions before commencing the performance of the work of this Agreement.

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**EXHIBIT B**  
**PROCEDURES AND REQUIREMENTS**  
**Used Oil Recycling Block Grant (15<sup>th</sup> Cycle) for FY 2009/10**

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***Copies of these Procedures and Requirements should be shared with BOTH the Finance Department AND the staff responsible for implementing the grant activities.***

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**Introduction/General Information**

These Procedures and Requirements of the Department of Resources Recycling and Recovery (CalRecycle) Used Oil Recycling Block Grant (UGB) Agreement describe project and reporting requirements, report due dates, report contents, grant payment conditions, eligible and ineligible project costs, publicity, education and copyright requirements, supporting documentation for all expenditures, overhead/indirect costs, projects completion and close-out procedures, records and audit requirements.

Expenditures incurred by the Grantee before both parties have executed the UBG15 Grant Agreement are subject to the Procedures and Requirements and Terms and Conditions of UBG14, and are incurred at the Grantee's own risk. All grant awards are contingent upon compliance with the requirements of the UBG Program and certain other factors, which will be set forth in detail in the Award Letter the Grantee will receive from CalRecycle. Grantees may choose, at their own risk, to incur grant-eligible expenses after July 1, 2009, and prior to receipt of the fully executed Grant Agreement.

**Questions?**

All communication regarding this grant should be directed to your CalRecycle Grant Manager (Grant Manager) unless otherwise specifically stated. To find the name and telephone number of your Grant Manager, refer to:  
<http://www.calrecycle.ca.gov/HomeHazWaste/Grants/Contacts.htm>

The Grantee may also call the Financial Assistance Division, Grant and Loan Resources Branch at (916) 341-6457.

**Important Dates**

July 1, 2009 – August 15, 2012	Grant Term for UBG15
July 1, 2009 – June 30, 2012	Grant Performance Period
August 16, 2010 August 15, 2011	Annual Report Due Annual Report Due
June 30, 2012	Grant Performance Period Ends
July 1, 2012 – August 15, 2012	Report Preparation Period
August 15, 2012	Grant Term Ends and Final Report Due

**Grant Performance  
Period, Grant Term  
and Report  
Preparation Period**

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The Grant Performance Period begins on July 1, 2009, at which time eligible grant expenditures for UBG15 may start (subject to the Procedures and Requirements and Terms and Conditions of UBG14, until such time as the UBG15 Grant Agreement becomes effective.) In all cases, all eligible UBG15 costs must be incurred no later than June 30, 2012.

The Grant Term and Grant Performance Period both begin on July 1, 2009, and the Grant Performance Period ends on June 30, 2012. The period between July 1, 2012, and August 15, 2012, is referred to as the Report Preparation Period. The Grant Term encompasses both the Grant Performance Period and the Report Preparation Period and ends August 15, 2012, at the conclusion of the Report Preparation Period. **Costs incurred to prepare the Final Report and Final Payment Request, if any, are the only costs that are eligible for reimbursement during the Report Preparation Period.**

**Definitions**

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For purposes of this Grant Program, the following definitions apply:

**Contractor:** An individual, business or company with which the Grantee enters into an agreement to perform grant-related services or activities, or provide materials or supplies for grant-related projects, services or activities.

**CalRecycle:** The Department of Resources Recycling and Recovery (CalRecycle), formerly known as the California Integrated Waste Management Board (CIWMB).

**Grant Manager:** The CalRecycle staff person responsible for monitoring a particular grant.

**Grantee:** The recipient of funds pursuant to a grant agreement.

**Letter of Authorization:** A letter submitted by a jurisdiction (Regional Participant) to authorize another jurisdiction (Regional Lead) to apply for a Used Oil Recycling Block Grant and to act on its behalf in the implementation and administration of the grant.

**Letter of Designation:** A letter submitted by the signature authority of an Applicant or Grantee which delegates authority to another individual (or position title) to execute, on behalf of the Applicant or Grantee, all grant-related documents, as authorized in the Resolution.

**Subcontractor:** An individual, business or company with which the Grantee's Contractor enters into an agreement to perform grant-related services or activities, or provide materials or supplies for grant-related projects, services or activities.

All contracts and subcontracts related to the performance of the Grant Agreement are required to include the right of CalRecycle to audit records and interview staff as set forth in the Audits/Records Access section of the Terms and Conditions (Exhibit A).

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**Prior To Commencing Work**

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***Grant Self-Assessment Form and other Grant Forms***

Prior to commencing work under this Grant, the Grantee's Grant Manager and authorized Signature Authority should review the Grant Self Assessment Checklist Form, and other Grant Forms, so as to identify key administrative requirements. Evaluation of the Grantee's compliance with these requirements is a major part of all Grant audits.

As set forth more fully in the Terms and Conditions (Exhibit A), the Grantee shall submit with its Final Report a completed and signed Self-Assessment Form. To obtain the Grant Self-Assessment Form (CIWMB 641), contact your Grant Manager, or go to <http://www.calrecycle.ca.gov/Grants/Forms/>.

***Reliable Contractor Declaration***

Prior to authorizing a contractor(s) to commence work under this Grant, the Grantee shall submit to the Grant Manager a declaration from the contractor(s), signed under penalty of perjury, stating that within the preceding three (3) years, none of the events listed in Section 17050 of Title 14, California Code of Regulations, Natural Resources, Division 7, has occurred with respect to the contractor(s) and the subcontractor(s), respectively. See <http://www.calregs.com/> to access the referenced Section of Title 14.

**Where To Send Reports, Payment Requests, etc.**

Send Reports, Grant Payment Requests, and all other written correspondence to your Grant Manager's attention at:

Department of Resources Recycling and Recovery  
Financial Assistance Division  
Grant and Loan Resources Branch – MS #9A  
P.O. Box 4025, 1001 "I" Street  
Sacramento, CA. 95812-4025  
Attn: (your Grant Manager's name)

**General Requirements**

Grantees must meet the minimum requirements at the beginning of the grant cycle to be eligible to expend funds. Eligibility includes having at least one Certified Collection Center (CCC) per 100,000 residents of the jurisdiction or a curbside collection program which includes used oil collection.

Grantees, or their contractors, must possess or acquire all applicable agreements/permits necessary to carry out the activities funded by the UBG and a copy or copies must be available for review upon request. The Grantee is responsible to ensure that contractors who administer and/or implement the grant on behalf of the Grantee comply with the Grant Agreement.

UBG15 applicants who miss the July 31, 2009 application submission date or who miss the August 31, 2009 date for submission of local government resolutions will not be eligible for UBG15 but will retain their eligibility for subsequent UBGs if they submit an Annual Report for all other UBGs by November 15, 2009, that is subsequently approved by the Grant Manager.



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Grantees who are invoiced for outstanding UBG funds may apply for UBGs and competitive grants, but any grants awarded will not be funded unless any outstanding invoices are paid within 90 days of the date the Board awards the grant.

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**Annual Site Visits**

Annual site visits to the Grantee's CCCs are a grant requirement during each fiscal year. Grantees must visit at least one CCC per 100,000 population. Please submit site visit forms (CIWMB 664 or CIWMB 665) as soon as completed, to your Grant Manager. Unless previously submitted within the current fiscal year, these forms must be submitted with the Annual Report.

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**Grant Expenditures**

All expenditures must be incurred, and payment made, with services provided and goods received during the Grant Performance Period, July 1, 2009 – June 30, 2012.

- a) The Grantee must spend all of the available funds from the oldest UBG prior to spending any funds from more recent UBGs. For example, utilize all funds from the 14<sup>th</sup> cycle grant before showing any 15<sup>th</sup> cycle expenses on the Expenditure Itemization Summary (EIS).
- b) It is acceptable to split an invoice across two separate UBG cycles in order to "zero out" all funds in the oldest UBG before using funds from a more recent UBG. Expenditures that are split need to be clearly identified on the Expenditure Itemization Summary form(s) as to what expenditures are attributed to which grant cycle.

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**Expenditures  
Requiring Advance  
Approval By  
CalRecycle Grant  
Manager**

Expenditures associated with the tasks or products listed below must be approved in writing by the Grant Manager prior to purchase or production. Please retain all approvals for audit purposes. Items not pre-approved MAY NOT be an eligible expenditure and payment may be denied.

Allow at least five (5) working days for approval of the following items:

- Premiums if the per item cost exceeds twenty dollars (\$20, not including sales tax)
- All television, video, and radio scripts
- School presentations (submit script and presentation purpose)
- Purchase of equipment, vehicles, and trailers, if \$5,000 or more total for the grant or more than 10 percent of the grant award
- Purchase of computer equipment and software, if over \$1,000 total for the grant or more than 10 percent of the grant award
- Financial incentives, if over \$1,000 per year or more than 10 percent of the grant award (includes: sponsorships, stipends, etc.)
- Planning, background, or feasibility studies

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**Pre-Approved  
Expenditures**

The expenditures listed below **DO NOT** require advance approval by the Grant Manager if they are related to the establishment, maintenance, or enhancement of used oil and used oil filter collection programs:

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- **Travel expenses** (Note: Travel expenses will only be reimbursed at the
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State rate (the rate allowed by the State of California Department of Personnel Administration); contact your Grant Manager if you need assistance in identifying applicable rates)

- **Used oil collection**
    - Used oil and used oil filter collection (includes curbside and door-to-door)
    - Certified and non-certified used oil collection center support
    - Used oil collection through Household Hazardous Waste (HHW) Programs, including transportation costs of used oil
    - Certified Unified Program Agency (CUPA) inspection fees of Certified and Non-Certified Used Oil Collection Centers with or without service bays (regardless of whether used oil is or is not generated as part of business operations); Grantees can verify whether the billing agency is a certified CUPA by going to:  
[www.calepa.ca.gov/CUPA/Directory/default.aspx](http://www.calepa.ca.gov/CUPA/Directory/default.aspx); CUPA inspection fees reimbursement must be proportionally related to the percentage of do-it-yourself (vs. do-it-for-me) used oil generated at the business
    - Set up and operation of temporary facilities for one-day or multi-day HHW collection events where used oil will be accepted
    - Hazardous Waste Operations and Emergency Response Standard (HAZWOPER) 8-hour refresher training course for personnel who are directly involved with used oil and HHW collection
    - Agricultural used oil collection projects
    - Marina used oil collection projects
    - Airport used oil collection projects
    - Construction of Permanent HHW Collection Facility and Antifreeze, Battery, Oil, and Paint Facility (ABOP) where used oil is accepted – permanent features, used oil-related equipment and supplies are eligible
  - **Re-Refined Oil use for public fleets**
    - Covers only the cost differential between re-refined and virgin oil and the cost of promotion to fleet managers
  - **Re-refined oil for non-fleet (consumer) promotion and distribution**
    - Grantees must first confirm and document the availability of re-refined oil for sale in the community at a retail establishment and provide information to the public on where to purchase the re-refined oil
  - **Publicity and education materials** (refer to the "Publicity and Education Requirements" section for minimum requirements)
    - Purchase and distribution of used oil containers, funnels, shop rags, coupons
    - Other premiums whose cost is less than \$20.00 and directly relate to and/or will be used for used oil and used oil filter collection and recycling needs and/or will be clearly linked to behavioral change that leads to an increase in used oil and used oil filter recycling
  - **Personnel costs for used oil/used oil filter recycling activities**
    - Training costs directly related to used oil/used oil filter recycling activities
  - **Load checking projects** related to the identification of used oil
  - **Indirect or Overhead Costs** that do not exceed 10% of the grant funds
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reimbursed and are supported with a cost-allocation plan

- Storm water mitigation (refer to the "Storm Water Expenses" section below for details)
- Additions/modifications that update an existing Grantee Web-page
- Audit expenses for UBG and Opportunity Grant cycles. Time and funds related to the audit should be described in the current UBG Expenditure Itemization Summary and must be for an audit of specific cycle(s) of the UBG and/or Opportunity Grant conducted by CalRecycle, the California Department of Finance and/or the California State Controller's Office. Expenses for audits of the Grantee's entire organization, or portions thereof, which include a review of one or more UBG and/or Opportunity Grant cycles are not eligible for reimbursement.

## **Storm Water Expenses**

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Since January 2002, some storm water mitigation expenditures are considered eligible expenses. Storm water mitigation is defined in Public Resources Code Section 48618.4 to include "...the prevention of storm water pollution from used oil and oil byproducts and the reduction or alleviation of the effect of storm water pollution from used oil and oil byproducts by means of action taken on public property. Mitigation includes the installation of devices and implementation of practices that prevent used oil and oil byproducts from causing storm water pollution. Mitigation does not include the cleanup or restoration of polluted areas".

- **Storm water expenses may not exceed 50% of the UBG award**
- All related storm water expenses such as personnel, publicity and education, stenciling, and storm water filter purchase/maintenance is counted towards the 50% cap
- To be eligible, each jurisdiction must self-certify that it has a storm water mitigation program that has been approved by its local Regional Water Quality Control Board
- All storm water expenses must be accounted for and reported on the Expenditure Itemization Summary

**The following types of storm drain filters (inserts; debris screens) are eligible:**

- A debris screen that covers the opening to the storm drain inlet; regular municipal street-sweeping must occur where debris screens are installed
- A catch basin (street side) inlet insert that **does not** contain oil absorbent media
- A catch basin inlet insert that **does** contain oil absorbent media plus a debris screen that covers the opening to the storm drain inlet; (the debris screen prevents debris and sediment from entering the storm drain and obstructing the oil absorbent media)
- A vertical drop-in parking lot inlet insert that **does** contain oil absorbent media (must be covered by a grate or debris screen)

**Note:** Periodic clean-out of catch basin inlet inserts and replacement of their oil-absorbent media are eligible for grant funding. However, street sweeping,

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parking lot cleaning, and clean-out of catch basin inlets without inserts are not eligible for grant funding.

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**Ineligible  
Expenditures**

Any expenditure that does not support the implementation of used oil and used oil filter collection programs is ineligible for UBG funding. The activities, products, or expenditures listed below are specifically identified as ineligible. The ineligible expenditures include, but are not limited to:

- Costs incurred prior to July 1, 2009, or after June 30, 2012
- Costs incurred during the Report Preparation Period (July 1, 2012 – August 15, 2012), except for the costs incurred to prepare the Final Report and Final Payment Request, if any
- Costs incurred during the Grace Period (August 16, 2012 – November 15, 2012)
- Purchasing or leasing of land or buildings
- Costs currently covered by or incurred under another CalRecycle or CIWMB loan, grant or contract
- Purchasing or leasing of vehicles by non-governmental agencies
- Remediation (any cleanup or restoration of polluted areas)
- HAZWOPER 40-hour and 24-hour courses
- Enforcement activities
- Profit or mark-up by the Grantee
- Preparation of Household Hazardous Waste elements (HHWE)
- Out-of-State travel
- Developing or customizing school curricula
- Overtime costs/Compensated Time Off (except for local government staffing during specially scheduled evening or weekend events outside of staff's normal work hours when law or labor contract requires overtime compensation)
- Any food or beverages (e.g., as part of meetings, workshops, or events)
- Cell phones, pagers, cameras, personal digital assistants, and other similar electronic devices
- Premiums that contribute to the HHW waste stream
- Transportation & disposal of non-oil HHW from any facility or event
- Equipment, materials, or supplies at HHW or ABOP facilities not directly related to the collection of used oil and used oil filters
- Any costs not consistent with local, State, or federal laws, guidelines and regulations
- CUPA fines or penalties
- Travel expenditures that exceed the State rate (for hotel and meal rates, see [http://www.dpa.ca.gov/jobinfo/Short-TermTravel/Excluded/599\\_619.shtm](http://www.dpa.ca.gov/jobinfo/Short-TermTravel/Excluded/599_619.shtm) for hotel maximum rates and for Meals and Incidentals)
- Any personnel costs incurred as a result of time an employee assigned to the project funded by the grant does not work on the project (e.g., use of accrued sick leave, accrued vacation, etc.)
- Any pre-paid expenditures for future goods or services delivered beyond the end of the Grant Performance Period (Exemption: The Grant Manager may consider approving products purchased in full before the end of the Grant Performance Period but delivered after the Grant Performance Period if the

delay is caused solely by the supplier, and not by the Grantee. The Grantee must request an exemption in writing and receive written pre-approval from the Grant Manager. In no event may products be delivered after the end of the Grant Term)

- Fines or penalties due to violation of federal, State or local laws, ordinances, or regulations
- Costs to maintain an existing HHW program where used oil is not collected
- Developing any type of permanent facility on non-local government-owned property
- Expenses for audits of the Grantee's entire organization, or portions thereof that include a review of one or more UBG and/or Opportunity Grant cycles are not eligible for reimbursement
- Costs deemed by the Grant Manager to be unreasonable or not related to the purpose of the grant

#### **Overhead/Indirect Costs**

Overhead and indirect costs can be claimed by Grantees. The following guidelines must be used when claiming these costs:

- a) The total cost of overhead and indirect costs charged to the grant shall not exceed 10% of grant funds reimbursed. These costs are expenditures not capable of being assigned or not readily itemized to a particular project or activity, but considered necessary for the operation of the organization and the performance of the program. The costs of operating and maintaining facilities, accounting services, and administrative salaries are examples of overhead and indirect costs. All overhead and indirect costs charged to the grant must be associated with grant-related activities.

***If you are uncertain whether a given cost is considered an overhead/indirect cost by CalRecycle, contact your Grant Manager.***

- b) Costs charged directly to the grant shall not be included in the overhead/indirect cost formula.
- c) Supervision performed by Managers and Supervisors can be included in the overhead/indirect cost formula; and therefore, will not be a direct charge to the grant. On the other hand, if a Manager or Supervisor performs an activity that is directly related to the execution of the grant (not supervision), costs associated with this activity may be included as a direct charge. Such activity must be **clearly supported** by appropriate documentation and shall not be charged to the grant as overhead or indirect cost.
- d) The Grantee must maintain organized and accurate records that follow generally accepted accounting principles and leave an audit trail. The Grantee must provide access to all documents related to the grant program and fiscal operation of the grant program as deemed necessary by CalRecycle.
- e) The Grantee must have on file an internally approved Cost Allocation Plan which specifically documents how the overhead rate was established and which is supported by formal accounting records to substantiate the charges.

The Cost Allocation Plan must be approved by an appropriate Supervisor/Manager in your agency. The Cost Allocation Plan must identify program elements included in the overhead/indirect cost calculation. See the sample "Cost Allocation Plan" calculation listed below:

**Total department indirect cost *divided by* total department direct cost base equals the overhead/indirect cost rate.**

- f) If the Grantee utilizes a contractor to administer and/or implement the grant, then the overhead and indirect costs of such contractor may be charged to the grant only to the extent that such costs could have been charged by the Grantee.

#### **Publicity And Education Requirements**

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*Premiums must directly relate to and/or be used for used oil and used oil filter collection and recycling needs and/or be clearly linked to behavioral change that leads to an increase in used oil and used oil filter recycling. Premiums must be appropriate for the target audience durable; and not likely to be disposed of in a short time or contribute to the waste stream or hazardous waste stream (e.g., any item containing batteries, mercury, etc.); and not promoting a particular brand-name product or private business.*

**For all languages other than English**, the Grantee must work with a person fluent in reading and writing the language. A description of the translator's qualifications, as well as an English version of the material must be submitted with the Final Report. Of key importance is that the translated material is at a reading level appropriate for its targeted audience.

**Materials or items purchased may be denied full reimbursement if they do not meet the requirements detailed in this section.**

All items/materials, as appropriate, must meet the acknowledgement, advertising/public education, and recycled-content product requirement as set forth in the Terms and Conditions, and must include the following:

- a) Acknowledgement of CalRecycle funding that reads "Funded by a Grant from the Department of Resources Recycling and Recovery (CalRecycle)."<sup>11</sup>  
*Exception:* The acknowledgement line is not required on small items (pencils, magnets, etc.) where space constraints would not allow for this line or if it would interfere with the message.
- b) Specific information on used oil/used oil filter recycling/disposal.
- c) A list of used oil collection centers within the targeted community or a telephone number to call for information on local collection centers. When locations are listed, include the following language: "Call for hours of

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<sup>11</sup> There are only two acceptable Spanish translations: "Financiado por una beca del Department of Resources Recycling and Recovery" or "Patrocinado por fondos del Department of Resources Recycling and Recovery." For other languages, you must work with a certified translator or person fluent in reading and writing that language.

operation." (Use the 1-800-CLEANUP number [or [www.cleanup.org](http://www.cleanup.org) website] if your jurisdiction does not maintain its own 24-hour hotline.)"

- d) The "Used Oil Drop" logo with the words "Recycle Used Oil" or "Recycle Used Oil and Used Oil Filters" as appropriate.

## **Copyright Requirements**

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The following language must appear on any copyrightable material produced with CalRecycle grant funds:

Copyright language: © Copyright {year of creation} by the California Department of Resources Recycling and Recovery (CalRecycle). All rights reserved. This publication, or parts thereof, may not be reproduced without permission from CalRecycle.

For copyrightable material produced in Spanish, the following language must appear:

© Copyright {year of creation} the California Department of Resources Recycling and Recovery (CalRecycle). Todos los derechos reservados. Esta publicación, o partes, no puede ser reproducido sin permiso de CalRecycle.

Examples of copyrightable material include but are not limited to:

- CDs and DVDs of audio and/or visual material
- Computer Software
- Brochures, pamphlets, and reproductions of advertisements designed for distribution

Please check with your Grant Manager with specific questions about the applicability of using the copyright language.

## **Combining Used Oil With Other Environmental Programs**

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Both storm water and/or HHW recycling programs may be incorporated with the used oil recycling message on publicity and education (P&E) items. The funding level for the P&E portion for these programs will be determined on a case-by-case basis by the Grant Manager. To be eligible for any funding, the proposal must meet the minimum requirements for Used Oil P&E, and clearly support all of the key components of the UBG program.

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## Graphics



Graphics are available on CalRecycle's website at:

[www.calrecycle.ca.gov/UsedOil/graphics/default.htm#usedoil](http://www.calrecycle.ca.gov/UsedOil/graphics/default.htm#usedoil)

Use the State colors (blue oil drop on yellow background) on any material produced in four or more colors. (The color designation for professional printing is Yale Blue-Pantone 286C; Golden Yellow-Pantone 123C.)



## Recycled-Content Product Requirements

All Grantees must report the percentage of recycled-content material for all products purchased in the product categories listed below. Grantees must use a separate Recycled-Content Product Certification Form (CIWMB 74G) for **each supplier** and submit them with the Final Report. The form can be found on CalRecycle's website at: <http://www.calrecycle.ca.gov/Grants/Forms>.<sup>2</sup>

Paper Products	Printing & Writing Paper	Plastic Products
Compost & Co-Compost	Glass Products	Lubricating Oils
Paint	Solvents	Tire-Derived Products
Tires	Steel Products	

Any exceptions to the above requirements must be pre-approved in writing by the Grant Manager.

## Large Equipment CalRecycle Acknowledgement

A CalRecycle sticker (bumper sticker size) that displays the "used oil drop" logo including the text "Recycle Used Oil" and "Funded by a grant from the Department of Resources Recycling and Recovery (CalRecycle)" is required to be affixed to all large pieces of equipment purchased with grant funds. When submitting the Final Report, the picture of this equipment should include the affixed sticker. CalRecycle has stickers available at no cost which may be requested from your Grant Manager.

## Reporting Requirements

The Grantee must submit an Annual Report for each year of the approved grant project, as well as a Final Report which, after approval by the Grant Manager, will enable CalRecycle to close the grant and release the 10% funds withheld. (NOTE: All forms for the following reports can be downloaded from the CalRecycle website at: [www.calrecycle.ca.gov/Grants/Forms/](http://www.calrecycle.ca.gov/Grants/Forms/)) The last Annual Report can also serve as the Final Report as long as it covers the period from the last Annual Report to the end of the Grant Performance Period. These reports are described below.

<sup>2</sup> For information on minimum recycled-content products, see [www.calrecycle.ca.gov/BuyRecycled/StateAgency/](http://www.calrecycle.ca.gov/BuyRecycled/StateAgency/).



- c. Two photographs, from different angles, for large items such as equipment or structures.
  - d. A photograph of each event attended or conducted (if not previously submitted).
  - e. For Regional Programs that have developed printed materials (including item 5 below) with grant funds, only the Regional Lead is required to submit copies of the materials to CalRecycle; and include information as to who the other regional participants are. Thus, Grantees participating in the Regional Program are not each required to submit copies of the materials, but each Grantee should reference the Regional Program in its Annual Report and identify the Regional Lead in its report.
5. Samples of Final Television, Video and Radio Ads. A final copy of each ad (if not previously submitted) in the appropriate media format (DVD format for videos and CD-Rom for radio ads).

**FAILURE TO SUBMIT THE REQUIRED ANNUAL REPORT/FINAL REPORT BY THE SPECIFIED DEADLINE MAY CAUSE THE GRANTEE TO BE INELIGIBLE FOR THE CURRENT OR FUTURE UBG CYCLES AND MAY RESULT IN INVOICING OR TERMINATION OF OTHER OPEN UBG CYCLES.**

#### **Payments**

**UBG funds will be disbursed on a reimbursement basis, with only the following exceptions:** the advance payment option is at the Grant Manager's discretion for Grantees receiving \$20,000 or less and for multi-jurisdictional and regional grantees whose individual jurisdictions would have received \$20,000 or less had they applied individually. *The Grant Manager will consider exceptions to the reimbursement policy for financial hardship situations on a case-by-case basis.*

#### **Advance Payment Option**

Where advance payment has been approved, UBG recipients will receive 90% of their UBG award in advance once the Grant Agreement is fully executed and a signed Grant Payment Request is submitted. Advancement of funds is conditional upon full repayment of all outstanding UBG funds and interest owed to CalRecycle.

The Grantee will have to incur eligible costs for the 90% advanced and the interest accrued or return any unspent advanced funds to CalRecycle. If the Grantee does not incur costs equivalent to the 10% withheld from the overall UBG amount, CalRecycle will retain the 10% withhold and close the grant.

If the Grantee incurs costs that cover all or part of the 10% withheld, CalRecycle will reimburse eligible costs. The remaining funds from the overall UBG amount will be released to the Grantee after 100% of grants funds have been expended and the Annual Report has been approved by Grant Manager.

**Note:** CalRecycle will formally invoice (as an Accounts Receivable) any unspent advanced grant funds or interest accrued.

**Interest on  
Advance  
Payments**

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Interest earned for each UBG Cycle advance must be tracked and accounted for separately. Any unused interest accrued must be returned to CalRecycle at the end of the grant term. Grantees should contact their administration and finance office to establish a process to track and report this interest.

All grant funds where an advance was given to the Grantee must be placed in an interest-bearing account with a fully insured financial institution. Any interest accrued and received from this account may only be used for eligible expenses related to the grant. **Interest accrued must be stated on the FINAL Expenditure Itemization Summary only.**

In cases where grant funds are forwarded directly to a contractor for expenditure, the Grantee is subject to the same requirements pertaining to tracking of accrued interest, unless the money is spent by the Grantee within 90 days of issuance of the funds to the Grantee. Therefore, the Grantee is required to impose upon any contractor to which it entrusts advanced grant funds the obligation to comply with the requirements of the Grant Agreement regarding interest. The Grantee is ultimately responsible for all advanced funds and accrued interest thereon.

The Grantee is responsible for ensuring that subcontractors who administer and/or implement the grant on behalf of the Grantee comply with the terms of this Grant Agreement.

**Reimbursement  
Payments**

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Most UBG funds will be paid by reimbursement payments. Under this payment method, CalRecycle retains 10% of the requested amount until the grant is closed out. The remaining 10% reimbursement payment (withhold amount) will be released to the Grantee at the conclusion of the grant term once the Grantee has complied with all grant provisions.

To receive a reimbursement payment, Grantees must submit a completed EIS and Grant Payment Request Form. Reimbursement payment requests must be submitted no later than December 31, 2012. Once reviewed and approved, the payment reimbursement will be processed. Grantees may request up to four reimbursement payments per year, per cycle, and no less than one per year, per cycle. Exceptions to this schedule must be pre-approved in writing by your Grant Manager.

**Submittal of  
Payment  
Requests**

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**Required Documents and Format for Payment Request**

A complete payment request must include the following items in the order listed in addition to a brief narrative that explains for what activities the expenses were incurred, if the payment request is not submitted with the Annual Report. (The Grant Manager may require additional narrative to fully understand the nature of the expenditures.)

1. **Grant Payment Request Form** (CIWMB 87) – This form must be signed by the individual authorized by the resolution.
2. **Expenditure Itemization Summary** (CIWMB 667 or Grantee's own version) - All expenditures must be itemized and arranged by the Reporting and Expenditure Categories. (See the "Expenditure Itemization Summary" section below.)

**3. Personnel Expenditure Itemization Summary (CIWMB 165) – Only applicable to contractors and Grantee's staff.**

**Note:** All expenditures must be accompanied by documentation that describes the EIS categories for which the funds were spent, when they were spent, who did the work or spent the funds and the invoice numbers associated with the spent funds. Please contact your Grant Manager for approval if you intend to provide some other form of supporting documentation.

**Expenditure  
Itemization  
Summary (EIS)**

Grantees are required to submit the EIS Form (CIWMB 667) covering expenses for the previous fiscal year (July 1 – June 30) by grant cycle or for any period in which expenses were incurred. ***Please contact your Grant Manager for pre-approval if you intend to provide some other form of supporting documentation.***

Use the reporting and expenditure categories listed below when preparing the EIS. Only directly applicable eligible expenses should be included. Summarize all of the expenses that were incurred by grant cycle over the 12 month reporting period and use only the categories that are applicable to the Grantee's grant program, including personnel costs related to that task(s). For each category, identify the related tasks and expenses. If there is more than one invoice from a company, list them separately on the EIS. Include invoice numbers.

**Permanent Collection Facilities** – Includes eligible expenses for collection centers, PHHWC and ABOP facilities. **Do not** include publicity and education or oil containers in this category.

**Temporary or Mobile Collection** – Eligible expenses for temporary events at an established facility, and mobile events.

**Residential Collection** – Curbside or door-to-door collection of used oil and used oil filters.

**Load Checking Program** – Inspection of loads for used oil at solid waste landfills or transfer stations.

**Publicity and Education** – All eligible publicity, public education, and community outreach events (except those related to storm water education).

- A partial list of examples includes newspaper ads; radio spots; public service announcement TV spots; flyers; brochures; door hangers; utility bill inserts; billboards; collection center handouts (such as "shelf talkers"), and premiums.
- Material/supply expenses for community events and school presentations should be included in this category.
- Local government personnel expenses should be placed into the Personnel/Other category.

**EIS Certification** - The EIS MUST include the following certification:

*"I certify under penalty of perjury, under the laws of the State of California, that the above information is correct and that all funds received have been expended in accordance with the Used Oil Recycling Block Grant."*

The certification MUST be dated and signed by the Signature Authority specified in the Grantee's resolution. An EIS received without the signed certification will not be approved.

**Personnel  
Expenditure  
Itemization  
Summary  
(PES)**

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**A Personnel Expenditure Itemization Summary (CIWMB 165)** for Grantee staff as well as contractors or an equivalent form must be submitted to document all grant-related personnel costs. In consideration of the sensitivity of the data that may be contained on the payroll journal/register, personnel time logs, or copies of timesheets, a Grantee may not want to submit these forms to CalRecycle. As an alternative, the Grantee may submit the PES or equivalent form with two signatures (Signature Authority and/or staff from the Personnel or Accounting Office) verifying the information is accurate. Grantees must retain payroll journals/registers and personnel time logs/timesheets for audit purposes.

***Please contact your Grant Manager if you have any questions.***

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**Supporting  
Documentation for  
Expenditures**

Documentation for all expenditures claimed on the Grant Payment Request **must** be retained by the Grantee for a minimum of three years after closeout of the grant term for audit purposes. (See Audit/Records Access section of the Terms and Conditions Exhibit A.)

Retain the original documents at your office. Types of acceptable documentation include but are not limited to:

- **Invoices** that include vendor's name, telephone number, and address; a description of goods or services purchased, amount due, and date; invoices must be accompanied by proof of payment (e.g., copies of cancelled checks)
- **Receipts** that include the same information as invoices
- **Purchase orders** that include the same information as invoices; purchase orders must be accompanied by proof of payment (e.g., copies of cancelled checks)
- **Personnel Expenditure Summary Form** (CIWMB 165 or your own version if pre-approved) that documents actual time spent on grant-related activities
- **Travel Expense Form** (CIWMB form or your own version) that documents costs related to travel and includes supporting documentation
- **Samples** of all publicity and education materials purchased or developed with grant funds
- **Proof of Payment** (e.g. copies of cancelled checks and/or documented payment within the financial records)

**Ten Percent  
Withhold**

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Ten percent of grant funds will be withheld from each Grant Payment Request and paid at the end of the grant term when all reports and conditions, stipulated in the Grant Agreement, have been satisfactorily completed. For Grantees with reimbursement grants, the 10% withhold will be released when Final Report has been

approved by the Grant Manager. For Grantees who have received Advance Payments, the 10% withhold will be released when the Grant Manager has approved the Final Report and verified through documentation submitted by the Grantee that 100% of the advanced grant funds and any earned interest have been expended.

## **Audits**

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Documentation and a clear audit trail are essential to grant management.

The Grantee agrees to maintain records for a possible audit for a **minimum of three years after final payment or grant term end date, whichever is later**, unless a longer period of records retention is stipulated, or until completion of any action and resolution of all issues which may arise as a result of any litigation, dispute, or audit, whichever is later.

*Examples of audit documentation include, but are not limited to, expenditure ledger, payroll register entries, time sheets, personnel expenditure summary form, travel expense log, paid warrants, contracts and change orders, samples of items and materials developed with grant funds, invoices and/or canceled checks.*

Refer to the Terms and Conditions (Exhibit A) for more information.

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